

# PATENT COOPERATION TREATY

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

To:  
MICHAEL E. ZALL  
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SUFFEN, NY 10901

## PCT

### NOTIFICATION OF TRANSMITTAL OF INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Rule 71.1)

Date of Mailing  
(day/month/year)

01 SEP 2004

Applicant's or agent's file reference

3.0-002PCT

#### IMPORTANT NOTIFICATION

International application No.

International filing date (day/month/year)

Priority date (day/month/year)

PCT/US03/39038

08 December 2003 (08.12.2003)

09 December 2002 (09.12.2002)

Applicant:

SMITH, RONALD J.

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.
4. **REMINDER**

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices)(Article 39(1))(see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/US

Mail Stop PCT, Attn: IPEA/US  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

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SHEULEY A. DODSON

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Form PCT/IPEA/416 (July 1992)

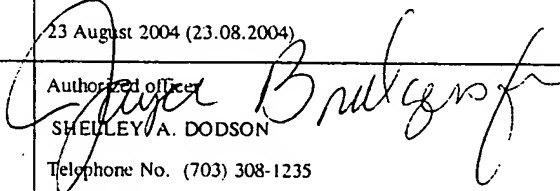
## EXHIBIT B

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 3.0-002PCT	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US03/39038	International filing date (day/month/year) 08 December 2003 (08.12.2003)	Priority date (day/month/year) 09 December 2002 (09.12.2002)
International Patent Classification (IPC) or national classification and IPC IPC(7): A61K 7/00, 7/42, 7/44 and US Cl.: 424/059, 060, 400, 401		
Applicant SMITH, RONALD J.		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>3</u> sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of <u>  </u> sheets.</p> <p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of report with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>		
Date of submission of the demand 15 June 2004 (15.06.2004)	Date of completion of this report 23 August 2004 (23.08.2004)	
Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703) 305-3230	 Authorized officer SHELLEY A. DODSON Telephone No. (703) 308-1235	

Form PCT/IPEA/409 (cover sheet)(July 1998)

**I. Basis of the report****1. With regard to the elements of the international application:\***☐ the international application as originally filed.☒ the description:

pages 1-9 as originally filed

pages NONE filed with the demandpages NONE filed with the letter of \_\_\_\_\_.☒ the claims:

pages 10-12 as originally filed

pages NONE as amended (together with any statement) under Article 19pages NONE filed with the demandpages NONE filed with the letter of \_\_\_\_\_.☒ the drawings:pages NONE as originally filedpages NONE filed with the demandpages NONE filed with the letter of \_\_\_\_\_.☐ the sequence listing part of the description:pages NONE as originally filedpages NONE filed with the demandpages NONE filed with the letter of \_\_\_\_\_.**2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.**

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).☐ the language of publication of the international application (under Rule 48.3(b)).☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).**3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:**☐ contained in the international application in printed form.☐ filed together with the international application in computer readable form.☐ furnished subsequently to this Authority in written form.☐ furnished subsequently to this Authority in computer readable form.☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.**4. ☒ The amendments have resulted in the cancellation of:**☒ the description, pages NONE☒ the claims, Nos. NONE☒ the drawings, sheets/fig NONE**5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\***

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/US03/39038**V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. STATEMENT**

Novelty (N)	Claims <u>1-14</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>1-14</u>	YES
	Claims <u>NONE</u>	NO
Industrial Applicability (IA)	Claims <u>1-14</u>	YES
	Claims <u>NONE</u>	NO

**2. CITATIONS AND EXPLANATIONS**

CLAIMS 1-14 MEET THE CRITERIA UNDER PCT ARTICLES 33(2)-33(4) BECAUSE THE PRIOR ART DOES NOT TEACH, DISCLOSE NOR FAIRLY SUGGEST THE CLAIMED NOVEL MIXED ESTERS OF DICARBOXYLIC ACIDS WITH MONOHYDRIC FATTY ALCOHOLS AND PROPOXYLATED FATTY ALCOHOLS WHICH SHOW UNEXPECTED SUPERIOR PROPERTIES AS PIGMENT DISPERSANTS USED IN A WIDE VARIETY OF COSMETICS.

## INTERNATIONAL SEARCH REPORT

International application No.

PCT/US03/39038

<b>A. CLASSIFICATION OF SUBJECT MATTER</b> IPC(7) : A61K 7/00, 7/42, 7/44 US CL : 424/059, 060, 400, 401 According to International Patent Classification (IPC) or to both national classification and IPC		
<b>B. FIELDS SEARCHED</b> Minimum documentation searched (classification system followed by classification symbols) U.S. : 424/059, 060, 400, 401  Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched NONE  Electronic data base consulted during the international search (name of data base and, where practicable, search terms used) STN, CAS ONLINE, EAST, WEST, DIALOG		
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 5,928,631 A (LUCAS ET AL.) 27 JULY 1999 (27.07.1999), see entire document.	1-14
Y	US 5,116,604 A (FOGEL ET AL.) 26 MAY 1992 (26.05.1992), see entire document.	1-14
Y	US 4,830,768 A (REICH ET AL.) 16 MAY 1989 (16.05.1989), see entire document.	1-14
<input type="checkbox"/> Further documents are listed in the continuation of Box C. <input type="checkbox"/> See patent family annex.		
<b>* Special categories of cited documents:</b> "A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier application or patent published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art "&" document member of the same patent family		
Date of the actual completion of the international search 17 May 2004 (17.05.2004)		Date of mailing of the international search report <b>02 JUL 2004</b>
Name and mailing address of the ISA/US Mail Stop PCT, Attn: ISA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703) 872-9306		Authorized officer SHELLEY A. DODSON <i>J. Roberts for</i> Telephone No. (571) 272-1600